



Attorney Docket No.: PATENT  
SLM-06400

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

David T. Amm, *et al.*

Serial No.: 09/930,838

Filed: August 15, 2001

For: **BLAZED GRATING LIGHT  
VALVE**

) Group Art Unit: 2872

) Examiner: John Juba Jr.

) **SUPPLEMENTAL INFORMATION**  
) **DISCLOSURE STATEMENT**

) 162 N. Wolfe Road  
) Sunnyvale, CA 94086  
) (408) 530-9700

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313

Sir:

The citations listed below, copies attached, may be material to the examination of the above-identified application, and are therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make these citations of official record in this application.

Applicant has become aware of the following printed publications which may be material to the examination of this application:

- U.S. Patent No. 6,115,168; and
- PCT Publication No. WO 01/04674 A1.

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This Supplemental Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that anyone or more of these citations constitutes prior art.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 6-12-03

By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

CERTIFICATE OF MAILING (37 CFR § 1.8(a))  
I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the:  
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- 2 -

HAVERSTOCK & OWENS LLP.  
Date: 6-12-03 By: Quanta



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) **CERTIFICATION FOR  
SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT UNDER 37  
CFR § 1.97(e)**

) 162 N. Wolfe Road  
Sunnyvale, CA 94086  
(408) 530-9700

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313

Sir:

This certification is being made for the Supplemental Information Disclosure Statement accompanying this certification.

**Certification**

I, the person signing below, hereby certify that the printed publications contained in the enclosed supplemental information disclosure statement were cited within the Official Action mailed March 12, 2003. **Accordingly, I hereby certify that no reference contained within this supplemental information disclosure statement was cited in a communication from a foreign patent office in a related foreign application, and, to the knowledge of the person signing the statement, after making reasonable inquiry, no reference contained within this supplemental information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this supplemental information disclosure statement. 37 C.F.R. 1.97(e)(2).**

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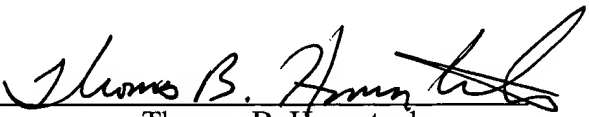
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**Identification of Person Making Certification**

The person making this certification is the attorney who signs below on the basis of the information in the attorney's file.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 6-12-03

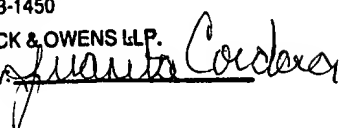
By:   
Thomas B. Havestock  
Reg. No.: 32,571

Attorneys for Applicants

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HAVERSTOCK & OWENS LLP.  
Date: 6-13-03 By: 

FORM PTO-1449  
(Modified)

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U.S. Department of Commerce  
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Attorney Docket No.: SLM-06400

Serial No.: 09/930,838

INFORMATION DISCLOSURE STATEMENT BY APPLICANT  
(Use Several Sheets If Necessary)

Applicants: David T. Amm et al.

Filing Date: August 15, 2001

Group Art Unit: 2872

(37 CFR § 1.98(b))

## U.S. PATENT DOCUMENTS

Examiner Initials		Serial / Patent Number	Issue Date	Applicant / Patentee	Class	Subclass	Filing Date
	AA	6,115,168	09/05/00	Zhao et al.	359	247	10/29/98
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
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	AL						
	AM						
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## FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		Document Number	Publication Date	Country / Patent Office	Class	Subclass	Translation	
							Yes	No
	AP	WO 01/04674 A1	01/18/01	WO	G02B	6/12		X
	AQ							
	AR							
	AS							
	AT							

## OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

	AU	
	AV	
	AW	
	AX	
	AY	
	AZ	
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	BC	

Examiner:

Date Considered:

EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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**TRANSMITTAL LETTER**

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P.O. Box 1450  
Alexandria, VA 22313

Sir:

Enclosed please find a Supplemental Information Disclosure Statement, a Certification pursuant to 37 C.F.R. § 1.97(e) for the Information Disclosure Statement, and Form PTO-1449, including copies of the references contained thereon, for filing in the U.S. Patent and Trademark Office.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. **An originally executed duplicate of this transmittal is enclosed for this purpose.**

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 6-12-03

By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

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HAVERSTOCK & OWENS LLP,  
Date: 6/20/03 By: Lucretia C. Lovelace

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